

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

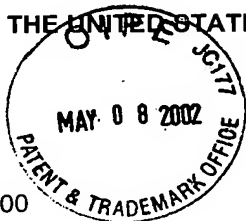
In re Patent Application of

Takahiko MIBU

Application No.: 10/082,100

Filing Date: February 26, 2002

Title: OPTICAL TRANSMITTER AND RECEIVER



Group Art Unit: 2633

Examiner: Unassigned

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INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed is an Information Disclosure Statement and accompanying form PTO-1449 for the above-identified patent application.

- ☒ No additional fee for submission of an IDS is required.
- ☐ The fee of \_\_\_\_\_ as set forth in 37 C.F.R. § 1.17(p) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e) is also enclosed.
- ☐ A certification under 37 C.F.R. § 1.97(e), and the fee of \_\_\_\_\_ as set forth in 37 C.F.R. § 1.17(p) are also enclosed.
- ☐ Charge \_\_\_\_\_ to Deposit Account No. 02-4800 for the fee due.
- ☐ A check in the amount of \_\_\_\_\_ is enclosed for the fee due.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 02-4800. This paper is submitted in duplicate.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Filed: May 8, 2002

By Douglas H. Pearson  
Douglas H. Pearson  
Registration No. 47,851

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Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, the present Information Disclosure Statement (IDS) is being submitted by Applicant(s) in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a legible copy ☐ of the document cited ☒ of each of the documents cited:

- ☒ is enclosed and listed on the attached Form PTO 1449.
- ☐ was submitted in Application No. \_\_\_\_\_ upon which is based a claim for priority under 35 U.S.C. § 1.20 and therefore is not enclosed herewith.

**FEE INFORMATION (Check only one of the following):**

- ☒ The document(s) is being submitted within three (3) months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later. Therefore, no fee or statement is required under 37 C.F.R. § 1.97(b).
- ☐ The information is submitted before the mailing of a first Official Action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114. Therefore, no fee or statement is required under 37 C.F.R. § 1.97(b).
- ☐ The document(s) is being submitted after the first Official Action on the merits and before the date of any final action, a notice of allowance or other action that closes prosecution on the merits. Therefore, either:
  - ☐ The appropriate statement in accordance with 37 C.F.R. § 1.97(e) (below) is submitted; or
  - ☐ A fee in the amount of \_\_\_\_\_ is enclosed in conformance with 37 C.F.R. § 1.97(c).
- ☐ The document(s) is being submitted after any final action, a notice of allowance or other action that closes prosecution on the merits and before payment of the Issue Fee. Therefore, a statement in accordance with 37 C.F.R. § 1.97(e) (below) and an IDS fee set forth in 37 C.F.R. § 1.17(p) in the amount of \_\_\_\_\_ are being submitted to comply with the provisions of 37 C.F.R. § 1.97(d).

**STATEMENT UNDER 37 C.F.R. § 1.97(e):**

- ☐ I, the undersigned, hereby state that each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this IDS.
- ☐ I, the undersigned, hereby state that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty (30) days prior to the filing of this IDS.

- ☐ I, the undersigned, hereby state that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application. To my knowledge, and after making reasonable inquiry, no item of information was known to any individual designated in 37 C.F.R. § 1.56(c) more than three (3) months prior to the filing of this IDS.

**CITATION OF COPENDING APPLICATIONS:**

- ☐ The Examiner's attention is directed to the following copending application information, a copy of which is enclosed, and the documents cited therein:

**Copending Application No.:**

**Filed:**

**Inventor(s):**



In accordance with M.P.E.P. § 609(c)(2) (August 2001, Page 600-131), the Office is requested to return a copy of this IDS with the Examiner's initials adjacent to this paragraph indicating that this copending application has been considered. By citation to the copending application, confidentiality is not waived and the Office is requested to maintain the confidentiality of the copending application under 35 U.S.C. § 122.

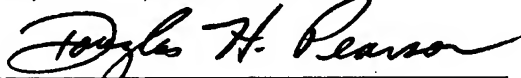
**CONCISE EXPLANATION OF RELEVANCE OF NON-ENGLISH LANGUAGE INFORMATION (Select at least one of the following as appropriate):**

- ☐ This IDS contains information which is not in the English language but was cited in a search report or other action by a foreign patent office in a counterpart foreign application. In accordance with M.P.E.P. § 609 A(3) an English language version of the search report or action which indicates the degree of relevance found by the foreign patent office is being submitted herewith.
- ☐ A concise explanation of the relevance of the non-English language information, as presently understood by the individual designated in 37 C.F.R. § 1.56(a) most knowledgeable about the content of the listed information, is
- ☐ enclosed; and/or
- ☐ appears in the specification at the following page(s)/line(s):
- ☐ A complete English language translation or an accurate English language version of the non-English language information is enclosed.
- ☒ An English language abstract of the non-English language document(s) is enclosed.

Consideration and making of record in the application identified in caption of the accompanying form PTO-1449 are respectfully requested. It is respectfully requested that an Examiner initialed copy of the enclosed form(s) PTO-1449 be returned to the undersigned.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

By 

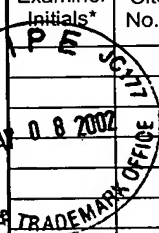
Douglas H. Pearson

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P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620

Filed: May 8, 2002

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|---|---|--------------------------|-------------------|------------------------|------------|
| <b>Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |   | <b>Complete if Known</b> |                   |                        |            |
|   |   | Application Number       | 10/082,100        |                        |            |
|   |   | Filing Date              | February 26, 2002 |                        |            |
|   |   | First Named Inventor     | Takahiko MIBU     |                        |            |
|   |   | Art Unit                 | 2633              |                        |            |
|   |   | Examiner Name            | Unassigned        |                        |            |
| Sheet   | 1 | of                       | 1                 | Attorney Docket Number | 027260-519 |

| U.S. PATENT DOCUMENTS  |                          |  |                                |  |
|--|--------------------------|--|--------------------------------|--|
| Examiner<br>Initials*  | Cite<br>No. <sup>1</sup> | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
|  |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |
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| FOREIGN PATENT DOCUMENTS |                          |   |                                |  |                                     |
|--------------------------|--------------------------|---|--------------------------------|--|-------------------------------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | T <sup>6</sup>                      |
|                          |                          | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) |                                |  |                                     |
|                          |                          | Japan - 2000-299365   | 10/24/2000                     | Goto IKUO et al                                    | <input checked="" type="checkbox"/> |
|                          |                          | Japan - 2000-228341   | 08/15/2000                     | Shioashi YOSHIHISA et al.                          | <input checked="" type="checkbox"/> |
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| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

**SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.